

EXHIBIT A



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7TH FLOOR
SAN DIEGO, CA 92122



102161956A

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/15/2002

REEL/FRAME: 013092/0637
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
SELSTED, MICHAEL E.

DOC DATE: 05/03/2002

ASSIGNOR:
TANG, YI-QUAN

DOC DATE: 03/27/2002

ASSIGNOR:
YUAN, JUN

DOC DATE: 03/27/2002

ASSIGNOR:
OUELLETTE, ANDRE J.

DOC DATE: 05/03/2002

ASSIGNEE:
REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CALIFORNIA 94607

SERIAL NUMBER: 10009317
PATENT NUMBER:

FILING DATE:
ISSUE DATE:

013092/0637 PAGE 2

LAZENA MARTIN, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

07-22-2002



Docket No.: P-UC 5042

R SHEET

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10/PCT Rec'd 15 MAY 2002

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- 1) Michael E. Selsted
- 2) Yi-Quan Tang
- 3) Jun Yuan
- 4) Andre J. Ouellette

05/15/02

2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Internal Address: _____

Street Address: 1111 Franklin Street, 12th Floor

City: Oakland State: CA ZIP: 94607

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other _____

Execution Date: 1) and 4) 5/3/02 2) and 3) 3/27/02

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/009,317

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

05/22/2002 MKAYPACH 00000031 10009317

02 FC:581

40.00 DP

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cathryn Campbell

Internal Address: CAMPBELL & FLORES LLP

Street Address: 4370 La Jolla Village Drive, 7th Floor

City: San Diego State: CA ZIP: 92122

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

03-0370

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To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Deborah L. Cadena, Reg. No. 44,048

Name of Person Signing

Deborah L. Cadena

Signature

May 15, 2002

Date

Total number of pages including cover sheet, attachments, and document: 5

ASSIGNMENT

U.C. Case No.: 98-234-3

C&F Docket No.: P-UC 5042

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- | | |
|-----------------------|-----------------------|
| 1. Michael E. Selsted | 2. Yi-Quan Tang |
| 3. Jun Yuan | 4. Andre J. Ouellette |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: ANTIMICROBIAL THETA DEFENSINS AND METHODS OF USING SAME

and which is found in

- (a)___ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b)___ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X U.S. application serial no. 10/009,317, filed on November 9, 2001, which is a national stage application of international application no. PCT/US00/12842, which has an international filing date of May 10, 2000, and which claims priority to U.S. application serial no. 09/309,487, filed May 10, 1999.
- (d)___ U.S. Patent No.: _____, issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

EXHIBIT D

Inventors: Selsted et al.
Serial No.: 10/009,317
Filed: November 9, 2001
International Filing Date: 10 May 2000
Page 2

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of the United States Patent and Trademark Office to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

Executed this

^(MS)
3 day of MAY, 2002

Signatures of Inventor(s)

Michael E. Selsted
Michael E. Selsted

27 day of March, 2002

Yi-Quan Tang
Yi-Quan Tang

27 day of March, 2002

Jun Yuan
Jun Yuan

^{ap}
3 day of May, 2002

Andre J. Ouellette
Andre J. Ouellette

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

No. 5907

State of California

County of Orange

On March 27, 2002 before me, Peggi M. Pike, Notary Public

DATE

NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Yi-Quam Long and Jun Guan

NAME(S) OF SIGNER(S)

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Peggi M. Pike
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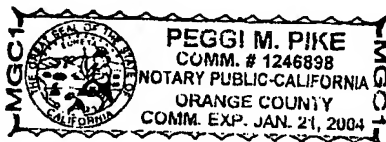
DATE

NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Michael Selsted and Andre L. Ouellette

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NUMBER OF PAGES

11/9/2001
DATE OF DOCUMENT

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Yi-Guan Tang & Sun Yuan
SIGNER(S) OTHER THAN NAMED ABOVE

EXHIBIT E

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Title of Application: ANTIMICROBIAL THETA DEFENSINS AND
METHODS OF USING SAME

International Patent Application No.: PCT/US00/12842
International Filing Date: 10 May 2000

Claiming priority to prior United States Application
Serial No.: 09/309,487
Filing (priority) date: 10 May 1999

Entry into U.S. national stage as Serial No. 10/009,317
U.S. National Stage entry date: 9 November 2001
U.S. Applicants/Inventors: Michael E. Selsted; Yi-Quan Tang;
Jun Yuan; and Andre J. Ouellette

Attorney Docket No.: P-UC 5042

The Regents of the University of California, a California Corporation, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the application. A copy of the executed assignment, submitted for recording, is attached hereto as documentary evidence of the chain of title to the assignee.

The undersigned is empowered to sign this statement on behalf of the assignee.

Signature:

Linda S. Stevenson

Date:

March 26, 2002

Name: Linda S. Stevenson

Title: Manager, Patent Prosecution

The Regents of the University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

ASSIGNMENT

COPY

U.C. Case No.: 98-234-3

C&F Docket No.: P-UC 5042

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Michael E. Selsted
2. Yi-Quan Tang
3. Jun Yuan
4. Andre J. Ouellette

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: ANTIMICROBIAL THETA DEFENSINS AND METHODS OF USING SAME

and which is found in

- (a) ☐ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) ☐ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) ☒ U.S. application serial no. 10/009,317, filed on November 9, 2001, which is a national stage application of international application no. PCT/US00/12842, which has an international filing date of May 10, 2000, and which claims priority to U.S. application serial no. 09/309,487, filed May 10, 1999.
- (d) ☐ U.S. Patent No.: , issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

Inventors: Selsted et al.
Serial No.: 10/009,317
Filed: November 9, 2001
International Filing Date: 10 May 2000
Page 2

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of the United States Patent and Trademark Office to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

Executed this

^(MS)
3 day of MAY, 2002

Signatures of Inventor(s)

Michael E. Selsted
Michael E. Selsted

27 day of March, 2002

Yi-Quan Tang
Yi-Quan Tang

27 day of March, 2002

Jun Yuan
Jun Yuan

^{ap}
3 day of May, 2002

Andre J. Ouellette
Andre J. Ouellette

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

No. 5907

State of California

County of Orange

On March 27, 2002 before me, Peggi M. Pike, Notary Public
DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Yi-Quon Long and Jun Guan
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WITNESS my hand and official seal.

Peggi M. Pike
SIGNATURE OF NOTARY

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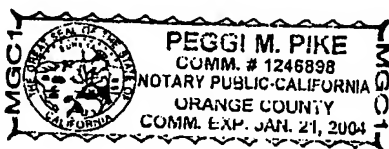
State of California

County of Orange

On May 3, 2002 before me, Peggi M. Pike, Notary Public
DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Michael Selsted and Andre J. Ouellette
NAME(S) OF SIGNER(S)

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